

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

*Only for new nonprovisional applications under
37 C.F.R. 1.53(b)*

Attorney Docket No.

1280.2003-000

First Named Inventor or
Application Identifier

Steven I. Ross

Express Mail Label No.

EL 930598065 US

Title of
Invention

**SYSTEM AND METHOD FOR RELATING SYNTAX AND SEMANTICS FOR A
CONVERSATIONAL SPEECH APPLICATION**

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

**Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231**

- | | |
|--|--|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages [28]] <i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to microfiche Appendix - Background of the Invention - Summary of the Invention - Brief Description of the Drawings - Detailed Description - Claim(s) - Abstract of the Disclosure <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets [5]] <input type="checkbox"/> Formal <input checked="" type="checkbox"/> Informal <input checked="" type="checkbox"/> Fig. of the Drawings for Publication [1]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration/POA [Total Pages [6]]</p> <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> [NOTE Box 5 below] <ul style="list-style-type: none"> i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b). <p>5. <input type="checkbox"/> Incorporation By Reference <i>(useable if Box 4b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p> | <p>6. <input type="checkbox"/> Microfiche Computer Program <i>(Appendix)</i></p> <p>7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <ul style="list-style-type: none"> a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) [] Pages c. <input type="checkbox"/> Statement verifying identity of above copies |
|--|--|

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents)
☒ Assignee - International Business Machines Corporation
Armonk, New York
9. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity Statement(s) ☐ Statement filed in prior application, status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request *(check parent application)*
17. ☒ Other: Transmittal of Declaration/Power of Attorney and Notice of Change of Correspondence Address

18. **If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner:

Group Art Unit:

19. CORRESPONDENCE ADDRESS

| | | | | | |
|---------|---|-----------|----------------|----------|----------------|
| NAME | Mary Lou Wakimura | | | | |
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| COUNTRY | USA | TELEPHONE | (978) 341-0036 | FAX | (978) 341-0136 |

| | | | |
|---------------------------------------|---------------------------|-------------|------------------|
| Signature | <i>J Scott Southworth</i> | Date | October 25, 2001 |
| Submitted by Typed or Printed Name | J. Scott Southworth | Reg. Number | 39,382 |

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

FEE TRANSMITTAL FOR PATENT APPLICATIONS

| | |
|------------------------|----------------|
| Attorney Docket Number | 1280.2003-000 |
| Application Number | |
| First Named Inventor | Steven I. Ross |

CLAIM CALCULATION (includes any preliminary amendment)

| CLAIMS | (1) FOR | (2) NUMBER FILED | (3) NUMBER EXTRA | (4) RATE | (5) CALCULATIONS |
|---|---------|------------------|------------------|---|------------------|
| TOTAL CLAIMS (37 CFR 1.16(c) or (j)) | 23 | - 20* = | 3 | x \$ 18 = | \$ 54 |
| INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i)) | 5 | - 3** = | 2 | x \$ 84 = | \$ 168 |
| MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) | | | | + \$ 280 = | \$ |
| | | | | BASIC FEE (37 CFR 1.16(a) or (h)) | \$ 740 |
| | | | | Total of above Calculations = | \$ 962 |
| | | | | Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) = | \$ |
| | | | | TOTAL = | \$ 962 |
| | | | | Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) = | \$ |
| | | | | Petition for Extension of Time Fee (37 C.F.R. 1.17) = | \$ |
| | | | | Assignment Recordation Fee = (only when filed with application) | \$ 40 |
| * Reissue claims in excess of 20 and over original patent ** Reissue independent claims over original patent | | | | TOTAL = | \$ 1002 |

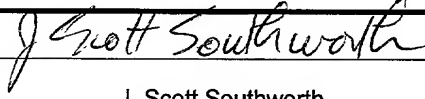
1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$1002. ☐ Please charge \$[] to Deposit Account No. 08-0380.

4. ☐ Other: _____

| | | | |
|---------------------------------------|---|-------------|------------------|
| Signature |  | Date | October 25, 2001 |
| Submitted by Typed or Printed Name | J. Scott Southworth | Reg. Number | 39,382 |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Steven I. Ross, Robert C. Armes, Julie F. Alweis, Elizabeth A. Brownholtz
and Jeffrey G. MacAllister

Application No.: Group:

Filed: Examiner:

For: SYSTEM AND METHOD FOR RELATING SYNTAX AND SEMANTICS
FOR A CONVERSATIONAL SPEECH APPLICATION

Date: 10/25/01

EXPRESS MAIL LABEL NO. EL 930598065 US

TRANSMITTAL OF DECLARATION/POWER OF ATTORNEY AND
NOTICE OF CHANGE OF CORRESPONDENCE ADDRESS

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

An executed Declaration/Power of Attorney document(s), is being filed concurrently in the above-referenced patent application. At page 2, the Declaration/Power of Attorney sets forth the former address of the undersigned in the appointment of agent and as correspondence address. Please send all correspondence to: Customer No. 021005, Hamilton, Brook, Smith & Reynolds, P.C., 530 Virginia Road, P.O. Box 9133, Concord, Massachusetts 01742-9133. In addition, please direct all telephone calls to Mary Lou Wakimura at (978) 341-0036, and all facsimile communications to (978) 341-0136.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By

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Date: October 25, 2001

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